

**Represented Police and Fire employees should check with the respective departments for department specific procedures and form implementing this general procedure.**

## ADMINISTRATIVE PROCEDURE 4-12

### PERFORMANCE PLANNING AND APPRAISAL

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#### PURPOSE

- 1.0 To establish objectives and policies for the performance planning and appraisal program which is to be carried out by the departments.
- 1.1 To specify procedures which must-be incorporated into all departmental performance planning and appraisal systems in the County government.

#### DEFINITIONS

- 2.0 CONDUCT - Job-related behavior which has an indirect impact on quality or quantity of work (e.g. timely and regular attendance, attentiveness to work during duty hours, courtesy and professionalism in personal work contacts; or, on the other hand, repeated tardiness, frequent personal telephone calls or conversations during working hours, rude or abusive treatment of others).
- 2.1 IMMEDIATE SUPERVISOR - The individuals) responsible for assigning and evaluating an employee's work.
- 2.2 MAJOR TASKS OR RESPONSIBILITIES - That portion of a performance plan which states the principal kinds of work the employee is expected to accomplish.
- 2.3 PERFORMANCE - An employee's progress on or accomplishment of assigned work.
- 2.4 PERFORMANCE APPRAISAL - One or more supervisors' written assessment of an employee s-performance in relation to the expectations in the employee's performance plan.
- 2.5 PERFORMANCE GUIDELINES - That portion of a performance plan which describes the qualities or characteristics of work (major tasks and responsibilities) performed at a fully satisfactory level.
- 2.6 PERFORMANCE PLAN - The document which records an employee's major responsibilities- and performance expectations as established by his or her supervisor in consultation with the employee. The performance plan is the basis for assessments of the employee's Job performance.
- 2.7 PERFORMANCE PLANNING AND APPRAISAL - The total process of developing work and performance objectives, o-observing, reviewing and appraising individual work performance, recognizing outstanding and superior performance, identifying needs for improvement, and working with employees to improve their effectiveness and efficiency and to make the best use of their knowledge, skills and abilities.

- 2.8 PERFORMANCE REVIEW - One or more supervisors' verbal assessment of an employee's performance in relation to the expectations in the performance plan. (A performance review is distinguished from supervisory conferences which may use the performance plan as a point of reference, but which are generally focused-on one or more particular issues; see definition 2.11 below.).
- 2.9 PROBATIONARY PERIOD - A continuation of the employment examination process which commences upon appointment to a full-time or part-time merit system position and provides an opportunity for the employee to demonstrate satisfactory performance. Employees do not serve a probationary period upon promotion or transfer.
- 2.10 REVIEWING OFFICIAL - the individual(s) responsible for reviewing and commenting on an employee's performance appraisal.
- 2.11 SUPERVISORY CONFERENCE - Any discussion between an employee and his or her supervisors about the employee's conduct or performance.

#### POLICIES AND OBJECTIVES

- 3.0 The performance planning and appraisal process serves several broad purposes:

--it is a principal tool for establishing accountability through systematic planning of work and assessment of accomplishments; --it provides a context ' for encouraging excellence in County service through regular and focused communication between employees and supervisors; and --it complements effective program planning and evaluation.

Specific objectives for each of the three major components of the process - performance planning, performance reviews and performance appraisal - are found in Appendix 8 (Specific Objectives) of this Procedure.

- 3.1 All departments shall plan for and appraise the performance of all merit system employees, employees serving probation and temporary employees in positions expected to last in excess of 180 days.
- 3.2 Each department shall develop Departmental Procedures for its implementation of performance planning and appraisal. Departmental Procedures shall be in accordance with this Procedure and are to be approved by the Chief Administrative Officer prior to implementation.

- 3.3 All departmental performance planning and appraisal procedures are intended and shall be interpreted to assure that employees' rights and interests are appropriately protected and that employees are given a fair opportunity to demonstrate satisfactory job performance.
- 3.4 The County will regularly assess-performance-planning and appraisal activities to ensure that departmental systems are being implemented appropriately, and that the program is refined over time. Further discussion of the County's performance planning and appraisal program found in Appendix A (Performance Planning and Appraisal Program) of this Procedure.

#### PERFORMANCE PLANNING AND APPRAISAL PROCESS: MANDATORY PROVISIONS

(The following provisions are required in all Departmental Performance Planning and Appraisal Procedures. Departments need not incorporate the language of this Section in Departmental Procedures so long as its substance is preserved. Departments may establish any additional provisions consistent with this Procedure. The "Performance Planning and Appraisal" Section of the Supervisor's Handbook contains material which may assist departments in developing procedures.)

#### 4.0 Performance Planning

- A. Responsibility - Except as otherwise provided in a Departmental Procedure, immediate supervisors are responsible for initiating the performance planning process, providing an opportunity for employee input and deciding on the final content of the plan, and establishing and amending performance plans as appropriate.

Where more than one individual directly supervises an employee, each should participate fully in performance planning. The supervisors should share this responsibility in a manner consistent with their roles in directing the employee's work. ,

- B. Applicability - A performance plan is to be established for *any* period of employment which will exceed 180 days' duration.
- C. Frequency and Timing of Performance Planning - Performance plans should be established within 30 days after an employee begins work in a given position, and a new plan is to be established at least annually thereafter.

D. Substance of Performance Plans

1. Each employee's performance plan is to state all major tasks or responsibilities for the job, and all significant performance guidelines for each major task or responsibility.
2. Performance guidelines are to--describe--a satisfactory level of performance: in terms which are explicit and permit reasonably objective assessment.
3. The performance plan of every supervisor shall include performance planning and appraisal for subordinates as a major task or responsibility.
4. Performance plans shall be consistent with departmental work programs and position descriptions.

E. Performance Planning Process

1. Employees shall be given a meaningful opportunity to participate in the development or modification of their performance plans.
2. Performance plans are formally established by signature of the supervisor and the employee. The employee's signature indicates only that he or she has seen the plan; it does not indicate agreement.

If an employee refuses to sign a performance plan, the plan shall be referred, in accordance with departmental procedures, to the department head or designee for review and consultation with the employee and the supervisors. If the employee refuses to sign the plan following this consultation and any resulting changes by the supervisors, a notation on the plan *by* the supervisors will be accepted in lieu of the employee's signature.

3. Performance plans are subject to amendment or revision at any time at the initiative of an employee, with the concurrence of the supervisor, or at the initiative of the supervisor.

F. Documentation of Performance Plans

1. Employees shall receive a copy of their performance plans, and any amendments or revisions, within ten workdays after the plan or amendment is established.

2. Two copies of performance plans for each employee are to be kept in departmental operating files for a period not to exceed two years. One copy is the department's record; the other copy will be used in any assessment of departmental procedures and practices conducted by the County. Access to employees' performance plans is limited to officials of the County government on a need to know basis in accordance with Administrative Procedure 4-8, "Review of Employee Personnel Records". Only hard copies are to be retained for the record: retention in an automated system provides insufficient security against loss or unauthorized review and does not provide a record of required signatures.

4.1 Performance Reviews

- A. Responsibility - Immediate supervisors are responsible for conducting performance reviews, unless otherwise provided in a departmental procedure.
- B. Applicability - All employees subject to a performance plan are to receive performance reviews.
- C. Frequency and Timing of Performance Reviews -- Each employee is to receive at least one performance review in each twelve-month period. The required performance review is to take place concurrently with the performance appraisal. (It is strongly recommended, but not required, that departments provide for a second performance review each year approximately mid-way between performance planning and t@@ time when a performance appraisal will be made.)

At least one performance review shall be conducted for each employee who is serving a probationary period. If the employee is experiencing significant performance problems, the review should occur no later than halfway through the probationary period. Performance problems which emerge late in the probationary period *may* be addressed by extending the probationary period in accordance with Section 6.4 of the Personnel Regulations.

0. Substance of Performance Reviews - The performance review shall encompass all major tasks assigned in the performance plan, including strategies for resolving performance problems or providing career or skill development opportunities. The review shall also include consideration of the need to amend the plan, and follow-through as appropriate.

If the employee is experiencing conduct problems, these issues should be discussed in conjunction with the performance review.

- E. Documentation of Performance Reviews - Each performance review shall be documented in accordance with departmental procedures and the supervisor and the employee are to receive a copy. At a minimum, documentation shall consist of the-supervisor's and employee's signatures and the date on an appropriate form in accordance with Departmental Procedures. The substance of the performance review shall be documented if the discussion includes any changes to the performance plan or the identification of specific performance issues for further attention.

#### 4.2 Performance Appraisal

##### A. Responsibility

1. Performance appraisal is the responsibility of the employee's immediate supervisor, unless appraisal authority is otherwise delegated in writing in accordance with departmental procedures. Where more than one individual directly supervises an employee, each should-participate fully in performance appraisal. The supervisors should share this responsibility in a manner Consistent with their roles in directing the employee's work.
2. The employee's second level supervisor is responsible for reviewing each employee's performance appraisals. Performance appraisals by department heads are subject to review by the Chief Administrative Officer on request by the employee or the department head.
3. An employee's second-level or higher supervisor may not change an appraisal but may, under highly exceptional circumstances and with full documentation, withdraw authority to appraise performance from the employee's immediate supervisor and establish a new performance appraisal for the employee. In such cases, the department head is to be notified immediately of the action taken.

- B. Applicability -- A Performance appraisal is to be completed for any period of work or significant work assignment of 180 days or more.

C. Frequency and Timing of Performance Appraisals

1. Employees who have completed probation shall receive at least one written performance appraisal in every 12 month period.
2. Where an employee's position or-supervisor in the County government changes, and the employee has worked under a performance plan for a reasonable time prior to the change performance appraisal is to be completed within 30 days following the change.
3. Employees who are serving probationary periods shall receive a performance appraisal at the close of the probationary period.

D. Substance of Performance Appraisals

1. A performance appraisal shall record the accomplishment of tasks or responsibilities in relation to performance guidelines established in the performance plan. Compliance with general standards of conduct may be addressed outside the context of the performance planning and appraisal process as provided in the Personnel Regulations, Section 21 unless conduct issues are included in the performance plan. To the extent that conduct problems significantly affect the employee's performance, they should be addressed in the performance appraisal.
2. Where one or more tasks and responsibilities were assigned and completed satisfactorily, but not made a part of the performance plan, their accomplishment should be assessed as part of the performance appraisal.
3. Performance appraisals must include narrative remarks, which address actual performance in relation to performance guidelines in the plan except where guidelines are expressed in quantitative or other absolute, measures for which narrative comment would be inappropriate.

E. Performance Appraisal Procedures

1. Employees are to be given a reasonable time in which to demonstrate performance in accordance with a performance plan prior to a performance appraisal.

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2. Immediate supervisors and reviewing officials are to provide an opportunity for the employee to sign and comment on the appraisal and each reviewing-official's remarks, which are attached thereto. The employee's signature indicates only that he or she has seen the appraisal or comment; it does not indicate agreement-

If an employee refuses to sign a performance appraisal or comment, it shall be referred, in accordance with departmental procedures, to the department head or designee for review and consultation with the employee and the supervisors). If the employee refuses to sign following this consultation and any resulting changes by the supervisors), a notation on the appraisal or comment by the supervisors) will be accepted in lieu of the employee's signature.

Uses for Performance Appraisals

1. Performance appraisals are to be considered in decisions on granting merit system status and merit increases, and for demotion, removal or other adverse administrative actions to resolve performance problems.

Prior to taking any action specified in Section 21, "Disciplinary action of the Personnel Regulations which is based solely on the employee's performance in relation to a performance plan or any amendment thereto, the supervisor must be able to demonstrate that the work and applicable performance guidelines have been known to the employee for a reasonable time.

2. Performance appraisals are an appropriate basis for decisions to grant performance awards. At a minimum, where a performance award is recommended for an employee, the recommendation and relevant aspects of the employee's most recent performance appraisal are to be consistent.
3. Performance appraisals may not be used in any competitive selection procedure (including RIF) unless this use has been reviewed by the Employment Division of the Personnel Office and approved by the Chief Administrative Officer. The requirements for use of performance appraisals in making decisions about which employees) will be affected by a RIF are found in paragraph 3.23 of Administrative Procedure 4-19 (Reduction in Force).



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5. The substance of a performance appraisal may not be the subject of a grievance (see Section 8.5, Personnel Regulations, 1980). Employees may use the grievance process to examine alleged procedural irregularities in performance planning or appraisal.

G. Documentation of Performance Appraisals

1. Performance appraisals which assign to a substantial portion of an employee's performance either the highest or lowest possible rating in accordance with a department's procedures must be supported with a specific description or copies of the work which demonstrate the reasons for the appraisal.
2. One copy of each performance appraisal is to be kept in employees' official records for a period of five years. Two copies of performance appraisals for each employee are to be kept in departmental operating files for a period not to exceed two years. One copy is the department's record; the other copy will be used in any assessment of departmental procedures and practices conducted by the County. Access to employees' performance plans is limited to officials of the County government on a need to know basis in accordance with Administrative Procedure 4-8, 'Review of Employee Personnel Records'. Only hard copies are to be retained for the record; retention in an automated system provides insufficient security against loss or unauthorized review and does not provide a record of required signatures.

TRANSITION

- 5.0 Implementation of this Procedure will be staged over a period not to exceed 24 months following its Establishment. Each department's performance planning and appraisal procedure will specify the date(s) within that period on which the provisions of this Procedure and the departmental procedures will take effect for its employees.

DEPARTMENTS AFFECTED

- 6.0 All County Departments.

AUTHORITY

Section 8, "Performance Evaluation", Personnel Regulations for Merit System Employees, December 2, 1980.

APPENDICES

- A - Performance Planning and Appraisal Program
- B - Objectives

## APPENDIX A COUNTY PERFORMANCE PLANNING AND APPRAISAL PROGRAM

### OBJECTIVE

To monitor and assess the implementation of performance planning and appraisal activities throughout the County government and to develop progressively more refined performance planning and appraisal processes, techniques and applications.

### GENERAL PROGRAM ADMINISTRATION

The central program administration and coordination function for performance planning and appraisal is assigned to the Personnel Office. This function temporarily is assigned to staff in the Office of Management and Budget and will transfer to the Personnel Office when all departmental performance planning and appraisal procedures have been completed and approved b) the Chief Administrative Officer.

Central performance planning and appraisal program administration functions include the following responsibilities:

To provide technical assistance to departments in developing and implementing performance planning and appraisal systems and in resolving individual and systemic problems and issues as they arise.

To provide staff support in drafting and reviewing performance planning and appraisal procedures and other technical guidance for the use of departments.

To develop and implement approaches to monitoring the Countywide performance planning and appraisal effort, analyzing the results and providing options and recommendations to the Chief Administrative Officer for future development and refinement of the program.

To coordinate the performance planning and appraisal program with other management programs, such as management development, departmental work programming and program performance measurement in order that the County government's overall management effectiveness is enhanced over time.

ATTACHMENT B  
SPECIFIC OBJECTIVES

I. PERFORMANCE PLANNING

- A. To develop a performance plan for each employee, which reflects all major job responsibilities and performance expectations.
- B. To promote thoughtful reflection, an opportunity for exchange of ideas and a shared understanding about job expectations by supervisors and employees.
- C. To develop a context for ongoing discussions between employees and their supervisors about the progress of assigned work

II. PERFORMANCE REVIEWS

- A. To provide feedback to employees through review of work accomplishments in relation to the performance plan.
- B. To foster employee career development by discussing strengths, areas in need of improvement and impediments to progress, and formulating approaches to maximize strengths and resolve problems.
- C. To provide an opportunity for the employee and the supervisor to review the performance plan and revise it as appropriate.
- D. To improve the supervisor's ability to develop a performance appraisal which reflects the experiences of the entire review period, and the employee's ability to conform his or her performance to the expectations in his or her plan.
- E. To provide supervisors with a systematic approach to monitoring progress of all work for which. they are responsible during the course of the year.

III. PERFORMANCE APPRAISALS

- A. To provide each employee a clear and specific assessment of his or her performance against known expectations over a period of time.
- B. To assist employees' professional growth and development through a systematic process of planning, reviewing and assessing accomplishments.
- C. To provide a structured means of establishing accountability in the context of an ongoing process of planning and feedback which fosters effective job performance.
- D. To provide employees with a continuous record of professional assignments and accomplishments.